PY 2006 Division Self-Assessment Performance Measures (Final)

Three major initiatives in PY-06:
- More emphasis on safety communication between managers and employees. Things to emphasize include safety topics at regular group meetings, effective Division Safety Committees (or equivalent), and good definition of roles and responsibly for safety in Division ISM plans.
- More emphasis on management/employee interaction on ergonomic injury prevention
- More emphasis on safety inspections (or more simply managers walking and talking with their employees and discussing how work is performed safely and how safety can be improved) and a greater focus on observing safe work behaviors during inspections, as well as observing safe conditions. Also increased emphasis on the communication between managers and employees on the inspection itself and on the corrective action

Items that are new for PY-06 (bold italic) are not required until 1/1/06.

EXPECTATION	VALIDATION	RATING
DEFINE WORK		
E1. Line management regularly communicates ES&H policy, procedures, management safety expectations, and lessons learned to all staff. Division staff has clear lines of communication to convey ES&H issues, concerns, and suggested improvements to Lab and Division management. Examples of appropriate communications include: • Annual all-hands division meeting • *Active and effective Division Safety Committee or equivalent* • *Safety recognition* • Group safety meetings • Division ES&H web page or links to ESH resources • Roles and responsibilities detailed in ISM plan Division-wide emails • *Managers will set aside a portion of group meetings on a frequency specified in the Division ISM Plan and discuss safety issues relevant to the group. Alternatively, managers may conduct safety meetings (a specific meeting where the entire agenda is dedicated to safety for that workgroup).*	V1. 1) *Are specfic safety topics at ongoing group meetings (i.e., portion of a meeting set aside for safety) or monthly safety meetings.* Is process systematic? Is information *disseminated to staff.* 2) *Is a Division Safety Committee established (or equivalent) active in addressing employee safety issues and communicating safety information (how to avoid injuries) both to management and employees.* 3) *Division ISM Plan have correct and adqeuate definition of EHS roles and responsibilities within the division. Personnel are familiar with their assigned roles and responsiblities and are performing them adequately.*	*3 out of 3 satisfied – green* *2 out of 3 satisfied – yellow* *< 2out of 3 satisfied – red*

EXPECTATION	VALIDATION	RATING
• *Management conveys safety expectations and "actively listens" to employee safety ideas and concerns in regular personal contacts.*		
E2 Work planning for new and existing work includes environmental reviews. Review includes waste reduction, emission reduction, and/or resource conservation.	V2. 1) Division demonstrate progress in waste minization opportunities identified in PY05 self assessment. 2) Divisions conduct documented environmental performance reviews for new experimental work. Waste reduction and resource conservation strategies are implemented, as applicable. Divisions include waste minimization and resource conservation in division project review protocols. 3) Divisions with no new work conduct an environmental performance review for at least one existing research or operations process and implement appropriate measure(s)	Complete #1 and #2 OR #3- green Complete #1 OR #2/3 - yellow No progress - red
IDENTIFY HAZARDS		
E3. Workspaces are inspected/observed and evaluated on a regular basis. *All workspaces should be inspected. Manager's need only inspect a portion of the areas/employee-work-activities they are responsible for during each inspection (peer reviews between managers is encouraged), but all workspaces must be inspected during year. These inspections must be documented. Managers are encouraged to involve employees in these inspections.*	V3. % Division workspace inspected. *Managers should document workspace inspections and deficiencies discovered. Deficiencies should be tracked in CATS (as appropriate).*	*Satisfactory - green* *Partial – yellow* *Marginal - red*
E4. Divisions review work activities to identify, analyze, and categorize hazards and environmental impacts for the associated work. Examples of hazard inventory include: • HEAR database (or equivalent) • Project safety review	V4. For all Division projects, programs, and operations, have hazards been identified and inventoried? Does inventory include non-routine, new work and modification of existing work?	Satisfactory - green partial - yellow marginal - red

EXPECTATION	VALIDATION	RATING
• Workspace safety review • *Job Hazard or Safety Analyses (JHA/JSA)*	*Is there documentation to show that appropriate levels of management are actively participating in the review of hazards?*	

CONTROL HAZARDS

EXPECTATION	VALIDATION	RATING
E5. Divisions ensure engineering and other safety/environmental controls are in place and maintained. Examples of engineering controls include, but are not limited to: • Guards • Fume hoods • Interlocks • Exhaust system filtration • Secondary spill containment • Personal protective equipment • In-lab and stack emission monitors • *Cranes and hoists* • *Lockout/tagout* • *Eyewashes and safety showers* • *Ergonomic workstation modifications (furniture, equipment and/or accessories)* • *Manual material handling lift assist devices*	V5. Are engineering controls monitored as part of division self-assessment program? *Are line managers held accountable for assuring that* controls certified/checked, calibrated, and/or *serviced prior to use* within the required schedule?	satisfactory - green partial - yellow marginal - red
E6. Divisions ensure administrative controls are in place and maintained. Examples of administrative controls for self-authorized work include: • Work procedures • Project safety reviews • Assurance letters • Job rotation/sharing	V6. Are hazards controlled for all Division projects/activities? Are administrative controls reviewed annually and when work is modified? This includes work under formal authorizations (e.g. AHDs, RWAs) and self-authorized work (i.e. Division approval only*). Are line managers held accountable for terminating or suspending operations when approvals are lacking, authorizations have expired, or training is not current?*	satisfactory - green partial - yellow marginal - red

EXPECTATION	VALIDATION	RATING
E7. *Divisions ensure that ergonomic hazards (computer, laboratory, and material handling) are adequately controlled and that employees are knowledgeable and engaged in this process including the early reporting of ergonomic pain or discomfort (before an injury):* - *Ergonomic issues/concerns/discomfort/pain are reported promptly for immediate corrective action*	V7. *Division has an effective ergonomic safety program as evidenced by:* • *Employees report ergonomic pain or discomfort early and management takes immediate action to address these reports.* • *100% of required staff complete EHS052.* • *100% of required staff complete EHS-60.* • *Ergonomic evaluations are conducted within 30 days of the request (no pain reported).* • *Ergonomic evaluations are completed within 2 working days (when the employee returns to work) for any reported pain (EHS will perform all evaluations with pain reported in the request).* • *Corrective actions completed within 30 days except for some ergonomic workstation reconfiguration and ergonomic furniture delivery (EHS will support expediting these).* • *Divisions focus safety communications on ergonomic awareness and ergonomic injury prevention.*	satisfactory - green partial – yellow marginal – red
E8 Divisions maintain an accurate chemical inventory.	V8 % of chemical owners OR % of locations are updated in the Chemical Management System during the performance year (each division specifies an inventory process).	*90 – 100% - green* *80 – 90% - yellow* *< 80% - red*
E9. Division-specific OSHA instances from the 2004 OSHA	V9. *% completion rate by January 1, 2005*	*100% - Green*

EXPECTATION	VALIDATION	RATING
inspection are corrected in a timely manner.	*of OSHA instances from 2004 OSHA inspection.*	*< 100% - Red*
E10*. Division laser safety program is effective in controlling exposure to laser hazards.*	*V10. Laser safety program is effective as evidenced by:* • *Laser AHDs are current.* • *Laser users on campus meet all campus laser trainings and have a campus authorization requirement.* • *All laser systems have been inspected annually and when significant modifications have occurred.* • *Laser inventory database has been updated for all division lasers.*	*satisfactory - green* *partial - yellow* *marginal - red*
E11. Divisions control chemical, radiological, and bio hazards during lab moves and when PIs depart (change of accountability).	*V11. Divisions have in place a control process to ensure continuity of accountability of hazardous materials during lab moves and for departing PIs*	*satisfactory - green* *partial - yellow* *marginal - red*
E12. Divisions ensure that peroxide forming chemicals are effectively controlled.	V12. Does the Division have a program to control peroxide forming chemicals?	satisfactory – green partial – yellow marginal - red

EXPECTATION	VALIDATION	RATING
PERFORM WORK		
E13. Work is performed within the ES&H conditions and requirements specified by Lab policies and procedures.	V13. Work within authorization: % SAA compliance (including MWSAAs, RWCAs)	*Regulatory driven* >90% - green >75% - <90% - yellow <75% - red
	% Authorization compliance (e.g. RWAs, RWPs, AHDs)	*Regulatory driven* >90% - green >75% - <90% - yellow <75% - red
	# of environmental violations from external agencies and unplanned environmental releases above reportable quantities	Regulatory driven 0 -green 1 -yellow 2 or more - red
	% compliance QA waste samples	*Regulatory driven* >95% or only 1 failure - green >92% - <95% - yellow <92% - red
	# Waste Management issued NCARs	*Regulatory driven* 0 - green 1 or more - red
E14. Staff is properly trained.	V14a. % completion of JHQs or equivalent system.	>90% - green > 85- < 90% - yellow <85% - red
	V14b. Based on JHQs or training profiles, % completion rate for required courses.	>90% - green > 85- < 90% - yellow <85% - red

EXPECTATION	VALIDATION	RATING
E15. Division ensures that student safety issues are effectively addressed.	V15. Does the division have an effective safety program for students? This includes assuring students have completed their JHQs and required training, and their work conditions and work performance are safe.	satisfactory - green partial - yellow marginal - red
FEEDBACK AND IMPROVEMENT		
E16. ES&H deficiencies identified from workspace inspections, self-assessment activities, SAARs, Occurrence Reports, environmental inspections, and external appraisals are corrected in a timely manner.	V16. % completion rate of LCATS corrective actions (Levels 1, 2, and 3) implemented as scheduled. This includes corrective actions from SAARS and ORPS.	>90% - green >80% - <90% - yellow <80% - red
E17. ES&H programmatic deficiencies identified from Management of ES&H (MESH) Reviews, Integrated Functional Appraisals (IFAs), and previous Division Self-Assessments are corrected in a timely manner.	V17. Opportunities for improvement identified during the previous self-assessment cycle (Div. Self Assessment, IFA, and MESH) are implemented in a timely manner.	>100% - green >90-100% - yellow <90% - red
E18. Division *employees report injuries and near miss events and the Division* performs thorough review of all staff injuries, accidents, *and near-miss events* including analysis of conditions that led to injury. *Corrective actions to prevent recurrence are identified and effectively implemented.*	V18. Has Division ensured that accident causes and corrective actions for first aid and recordable injuries are effectively identified on SAARs? Are corrective actions implemented to prevent recurrence? *Is management actively promoting the early reporting for all injuries and near miss events?*	satisfactory - green partial - yellow marginal - red